

Application No.: 09/752,650

2

Docket No.: 468182000100

AMENDMENTS TO THE CLAIMS

Please amend claims 79-84, 87-90, 95-97, 99, 102, 104, 106, and 108-109; and cancel claims 85-86, 91-94, 98, 103, 105, 107, and 110-111 without prejudice. The following listing of claims replaces all prior versions, and listings, of claims in the application.

Claims 1-78 (Canceled)

Claim 79 (Currently amended): A computer-implemented method for facilitating comprehensive and integrated management and administration of changes to a company's capitalization structure, the method comprising:

initiating a capitalization-affecting request using an input device by a person or on behalf of the person ~~activity by at least one of a company security holder, a company administrator, a company employee, and a company agent;~~

automatically determining a vesting schedule particular for the person in response to the capitalization-affecting request using an administration software in communication with the input device, wherein automatically determining the vesting schedule includes:

accessing company restrictions relating to the capitalization-affecting request from a database in communication with the administration software;

accessing a record of the person relating to the capitalization-affecting request from the database;

accessing governmental restrictions relating to the capitalization-affecting request and the record from the database;

automatically uniquely classifying the capitalization-affecting request with respect to the person based on the accessed company restrictions, accessed record, and accessed governmental restrictions using the administration software;

sf-1961182

Application No.: 09/752,650

3

Docket No.: 468182000100

automatically updating the record of the person stored at the database in accordance with the automatically determined vesting schedule; and

automatically updating the company's capitalization structure stored at the database in accordance with the automatically determined vesting schedule.

~~classifying the capitalization-affecting activity as a security type and transaction in accordance with the company's capitalization structure maintained in a database and governmental regulations;~~

~~requesting authorization from the company or the company's authorized agent when the authorization is required to complete the classified capitalization-affecting activity; and~~

~~executing the classified capitalization-affecting activity.~~

Claim 80 (Currently amended): The computer-implemented method of claim 79, wherein the capitalization-affecting activity request is at least one of exercise, transfer, purchase, sale, authorization, recapitalization, split, termination, tolling, cancellation, and conversion of a company security.

Claim 81 (Currently amended): The computer-implemented method of claim 79, wherein the capitalization-affecting activity request is a hypothetical "what-if" capitalization-affecting activity.

Claim 82 (Currently amended): The computer-implemented method of claim 79, further comprising:

generating a report representative of the company's capitalization structure, company balance sheet, or company tax return from data stored in the database.

sf-1961182

Application No.: 09/752,650

4

Docket No.: 468182000100

Claim 83 (Currently amended): The computer-implemented method of claim 82, wherein generating a report includes generating a report representative of a present, revised, or hypothetical capitalization structure, ~~company~~ balance sheet, or ~~company~~ tax return.

Claim 84 (Currently amended): The computer-implemented method of claim 79, wherein the company restrictions include approval status of a board of directors for the company with regard to a capitalization structure of the company ~~the classifying includes classifying the capitalization-affecting activity as a security type and transaction in accordance with the company employee initiating the capitalization-affecting activity.~~

Claim 85 (Canceled)

Claim 86 (Canceled)

Claim 87 (Currently amended): The computer-implemented method of claim ~~[[85]]~~ 79, wherein ~~accepting a request~~ initiating a capitalization-affecting request includes the user interfacing with the ~~computerized administration system~~ software by at least one of the Internet or an area network.

Claim 88 (Currently amended): The computer-implemented method of claim ~~[[85]]~~ 79, further comprising interfacing with a transfer agent or equity plan administrator when the classified capitalization-affecting request has been granted, ~~wherein the interfacing is not performed if the step of determining compliance or requesting company approval is not satisfied.~~

Claim 89 (Currently amended): The computer-implemented method of claim ~~[[85]]~~ 79, wherein the ~~[[user]]~~ person is at least one of ~~a company agent, a company administrator, a company board, a company security holder~~ [[.]] and a company employee.

Claim 90 (Currently amended): The computer-implemented method of claim ~~[[85]]~~ 79, wherein initiating a capitalization-affecting request on behalf of a person includes initiating by at least one of a company agent, a company administrator, and an authorized agent ~~the user is a~~

sf-1961182

Application No.: 09/752,650

5

Docket No.: 468182000100

~~company employee and wherein at least one of the steps of classifying, determining, requesting, and completing is performed in accordance with restrictions associated with the user being a particular company employee.~~

Claim 91 (Canceled)

Claim 92 (Canceled)

Claim 93 (Canceled)

Claim 94 (Canceled)

Claim 95 (Currently amended): A computerized system for integrated handling of a security transaction, the system comprising:

a device configured to transmit a security transaction request from a user or on behalf of the user;

a database comprising data relating to a capitalization structure of a company, company restrictions relating to the security transaction request, a record regarding the user, and governmental restrictions relating to the security transaction request, the record regarding the user including data relating to an employment status of the user with the company and execution status of previous security transaction requests by the user; and

a database administration software in communication with the database and the device;
and

~~a device in communication with the database administration software, wherein the device is configured to transmit a security transaction request from a user directly authorized by the company, wherein the security transaction request relates to the company's securities;~~

sf-1961182

Application No.: 09/752,650

6

Docket No.: 468182000100

wherein the database administration software is configured to automatically calculate a unique vesting schedule for the user in response to the security transaction request in accordance with the company restrictions, record regarding the user, and governmental restrictions, and wherein the unique vesting schedule can differ from a vesting schedule for the same security transaction request made by a different user, on behalf of the different user, or at a different point in time, and wherein the capitalization structure of the company stored in the database is automatically updated in accordance with the unique vesting schedule.

~~classify the security transaction request in accordance with the capitalization structure, legal requirements, and unique identification of the user, determine compliance with governmental regulations and legal requirements with respect to the classified security transaction request, and determine final disposition of the classified security transaction request.~~

Claim 96 (Currently amended): The system of claim 95, wherein the database administration software is further configured to determine automatically update to the record regarding the user upon calculation of the vesting schedule ~~company's tax liability with respect to the classified security transaction request, and determine update to the database of the capitalization structure.~~

Claim 97 (Currently amended): The system of claim 95, wherein the device ~~comprises~~ communicates with the database administration software via at least one of the Internet[.]] and a network, ~~and specialists and managers.~~

Claim 98 (Canceled)

Claim 99 (Currently amended): The system of claim 95, wherein the user is selected from a group including a company's security holder, ~~a company agent, a company board member, a company administrator, and a company employee.~~

sf-1961182

Application No.: 09/752,650

7

Docket No.: 468182000100

Claim 100 (Previously presented): The system of claim 95, wherein the user is limited in the types of permitted security transaction requests based on the user's position with the company and the user's authorized transactions.

Claim 101 (Previously presented): The system of claim 95, further comprising a customized user interface in communication with the database administration software.

Claim 102 (Currently amended): The system of claim 101, wherein the customized user interface is configured to include a ~~payments~~ payment screen to pay and track payment particulars relating to the security transaction request.

Claim 103 (Canceled)

Claim 104 (Currently amended): The system of claim 95, wherein the company's ~~securities include~~ security transaction request relates to at least one of stock, restricted stock, stock purchase rights, options, warrants, convertible promissory notes, and other equity-based financial instruments.

Claim 105 (Canceled)

Claim 106 (Currently amended): The ~~computerized method~~ system of claim ~~[[105]]~~ 95, wherein the company restrictions include ~~processing a security transaction request includes~~ processing in compliance with the company's board approvals regarding the company's securities approval requirement.

Claim 107 (Canceled)

Claim 108 (Currently amended): The ~~computerized method~~ system of claim ~~[[105]]~~ 95, ~~comprising generating wherein the administration software is configured to generate a report~~ including changes to the company's capitalization structure from the security transaction request.

sf-1961182

Application No.: 09/752,650

8

Docket No.: 468182000100

Claim 109 (Currently amended): The ~~computerized method~~ system of claim ~~[[105]]~~ 95, wherein ~~the administration software is configured to provide a granted or pending status for the security transaction request providing a final determination includes completing the security transaction request by authorizing a transfer agent to execute the security transaction request.~~

Claims 110-111 (Canceled)

sf-1961182